

IN THE UNITED STATES DISTRICT COURT  
FOR THE NORTHERN DISTRICT OF CALIFORNIA  
SAN JOSE DIVISION

USA, CASE NO. 5:11-cr-00846-EJD

## LIST OF ADMITTED EXHIBITS FOR DELIBERATIONS

**Plaintiff(s),**

ASHVIN DESAI

Defendant(s).

The subsequent pages are the List of Exhibits by the Government and the Defendant as admitted into evidence and were submitted to the jury for deliberations.

DATED: 9/30/2013

FOR THE COURT,  
Richard W. Wieking, Clerk

by: Elizabeth C Garcia  
Elizabeth C. Garcia  
Courtroom Deputy

Exhibit Number	Date ID	Date Admitted	Sponsoring Witness	Description	Bates Range
1	9/18/2013	9/18/2013	Tim Mathers	2007 U.S. Individual Income Tax Return, Form 1040, for Ashvin and Nila Desai	
2	9/18/2013	9/18/2013	Tim Mathers	2008 U.S. Individual Income Tax Return, Form 1040, for Ashvin and Nila Desai	
3	9/18/2013	9/18/2013	Tim Mathers	2009 U.S. Individual Income Tax Return, Form 1040, for Ashvin and Nila Desai	
4	9/18/2013	9/18/2013	Tim Mathers	2009 U.S. Individual Income Tax Return, Form 1040, for Neal Desai	
5	9/18/2013	9/18/2013	Tim Mathers	2009 U.S. Individual Income Tax Return, Form 1040, for Ami Desai	
6	9/18/2013	9/18/2013	Tim Mathers	2007 Form 1040 Instructions	
7	9/18/2013	9/18/2013	Tim Mathers	2008 Form 1040 Instructions	
8	9/18/2013	9/18/2013	Tim Mathers	2009 Form 1040 Instructions	
9	9/18/2013	9/18/2013	Tim Mathers	Blank Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts (Rev. July 2000)	
10	9/18/2013	9/18/2013	Tim Mathers	Blank Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts (Rev. October 2008)	
28	9/10/2013	9/11/2013	Vandana Katju	Email dated July 14, 2006 from Vandana Katju re: reactivation of account	HSBC-DESAI-0000004 - HSBC-DESAI-0000006
29	9/10/2013	9/11/2013	Vandana Katju	Email dated July 20, 2006 from Ashvin Desai re: transfer	HSBC-DESAI-0000055 - HSBC-DESAI-0000056

<b>30</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated Sepember 25, 2006 from Vandana Katju re: internet banking	HSBC-DESAI-0000133
<b>31</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated October 19, 2006 from Vandana Katju re: confirmation	HSBC-DESAI-0000173 - HSBC-DESAI-0000175
<b>32</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated October 24, 2006 from Mark Bradley re: payment confirmation	HSBC-DESAI-0000194
<b>36</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated December 16, 2006 from Ahsvin Desai re: contact information	HSBC-DESAI-0000259 - HSBC-DESAI-0000260
<b>37</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated January 22, 2007 from Mayur Patni re: account in India	HSBC-NRI-0005889 - HSBC-NRI-0005891
<b>39</b>	9/10/2013	9/11/2013	Vandana Katju	Documents relating to deposit dated January 30, 2007	HSBC-NRI-0041046 - HSBC-NRI-0041048; HSBC-NRI-0041106
<b>41</b>	9/10/2013	9/11/2013	Vandana Katju	Letter dated April 18, 2007 from Ashvin Desai and Neal Desai re: breaking deposit	HSBC-DOJ-030839
<b>44</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated May 10, 2007 from Vandana Katju re: follow-up	HSBC-DESAI-0000439
<b>46</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated June 12, 2007 from Ashvin Desai re: Singapore HSBC	HSBC-DESAI-0000442
<b>47</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated June 13, 2007 from Ashvin Desai re: interest rates	HSBC-DESAI-0000444 - HSBC-DESAI-0000445
<b>48</b>	9/10/2013	9/11/2013	Vandana Katju	NRI Personal Account Opening Form for Nila Desai and Ami Desai	HSBC-DOJ-030901 - HSBC-DOJ-030908
<b>49</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated July 24, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000544- HSBC-DESAI-0000548
<b>50</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated July 24, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000705; HSBC-DESAI-0000710- HSBC-DESAI-0000713

<b>51</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated July 25, 2007 from Vandana Katju re: Singapore	HSBC-DESAI-0000714- HSBC-DESAI-0000717
<b>52</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated July 31, 2007 from Ashvin Desai re: signing of bank opening papers	HSBC-DESAI-0000721
<b>53</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated August 1, 2007 from Milind Gala re: screen dumps	HSBC-DESAI-0000731- HSBC-DESAI-0000732
<b>54</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated August 7, 2007 from Ashvin Desai re: Singapore Citibank	HSBC-DESAI-0000744- HSBC-DESAI-0000745
<b>55</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated August 14, 2007 from Vandana Katju re: follow-up	HSBC-DESAI-0000844
<b>56</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated August 15, 2007 from Sukrant Gupta re: reactivation of dormant account	HSBC-DESAI-0000858- HSBC-DESAI-0000869
<b>57</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated August 21, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000939- HSBC-DESAI-0000941
<b>58</b>	9/10/2013	9/11/2013	Vandana Katju	Email dated August 23, 2007 from Ashvin Desai re: internet banking	HSBC-DESAI-0000949
<b>59</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated August 23, 2007 from NRI Call Center re: screen dumps	HSBC-DESAI-0000950- HSBC-DESAI-0000953
<b>60</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated August 30, 2007 from Vandana Katju re: pending issues	HSBC-DESAI-0001030- HSBC-DESAI-0001032
<b>61</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated September 6, 2007 from Ashvin Desai re: ATM PIN	HSBC-DESAI-0001069
<b>62</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated Septemebr 25, 2007 from Ashvin Desai re: HSBC China	HSBC-DESAI-0001076
<b>63</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 7, 2008 from Aarti Kumar re: pay order	HSBC-DESAI-0001145- HSBC-DESAI-0001146
<b>64</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 22, 2008 from Ashvin Desai re: NRO deposit	HSBC-DESAI-0001169

<b>66</b>	9/10/2013	9/11/2013	Vandana Katju	Documents relating to deposit dated February 28, 2008	HSBC-DOJ-030812; HSBC-DOJ-030815-HSBC-DOJ-030819
<b>69</b>	9/10/2013	9/11/2013	Vandana Katju	Documents relating to deposit dated March 5,2008	HSBC-DOJ-030821-HSBC-DOJ-030823; HSBC-DOJ-030825-HSBC-DOJ-030826
<b>70</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated March 21, 2008 from Aarti Kumar re: deposit details	HSBC-DESAI-0001469-HSBC-DESAI-0001472
<b>71</b>	9/10/2013	9/17/2013	Aarti Kumar	Documents relating to deposit dated May 29, 2008	HSBC-DOJ-030829; HSBC-DOJ-030831; HSBC-NRI-0041053
<b>72</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 10, 2008 from Pooja Babbar re: screen shots	HSBC-DESAI-0001491-HSBC-DESAI-0001492; HSBC-DESAI-0001497-HSBC-DESAI-0001500
<b>73</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 23, 2008 from Aarti Kumar re: tax declaration	HSBC-DESAI-0001518-HSBC-DESAI-0001520
<b>74</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 24, 2008 from Ashvin Desai re: exchange rates	HSBC-DESAI-0001559-HSBC-DESAI-0001560
<b>75</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated June 16, 2008 from Aarti Kumar re: deposits	HSBC-DESAI-0001697-HSBC-DESAI-0001699
<b>76</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated June 16, 2008 from Ashvin Desai re: promotion letter	HSBC-DESAI-0001700
<b>77</b>	9/10/2013	9/17/2013	Aarti Kumar	Letter dated July 22, 2008 from Ashvin Desai re: deposit	HSBC-DOJ-030866 - HSBC-DOJ-030867
<b>78</b>	9/10/2013	9/17/2013	Aarti Kumar	Letter dated July 30, 2008 from Ashvin Desai and Neal Desai re: deposit	HSBC-DOJ-030873 - HSBC-DOJ-030874

<b>79</b>	9/10/2013	9/17/2013	Aarti Kumar	Letter dated July 30, 2008 from Ashvin Desai re: deposit	HSBC-DOJ-030871 - HSBC-DOJ-030872
<b>81</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 22, 2008 from Ashvin Desai re: exchange rates	HSBC-DESAI-0001976 - HSBC-DESAI-0001977
<b>83</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 24, 2008 from Aarti Kumar re: FCNR conversion	HSBC-DESAI-0002044 - HSBC-DESAI-0002046
<b>84</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 27, 2008 from Aarti Kumar re: transaction confirmation	HSBC-DESAI-0002157
<b>85</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated January 26, 2009 from Ashvin Desai re: ATM access	HSBC-DESAI-0002370
<b>86</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 3, 2009 from Aarti Kumar re: funds transfer	HSBC-DESAI-0002403 - HSBC-DESAI-0002404
<b>90</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated February 9, 2009 from Ashvin Desai re: HSBC Dubai	HSBC-DESAI-0002640
<b>91</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 11, 2009 from Aarti Kumar re: Dubai account	HSBC-DESAI-0002681 - HSBC-DESAI-0002682
<b>92</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated February 11, 2009 from Aarti Kumar re: Dubai account	HSBC-DESAI-0002702 - HSBC-DESAI-0002703
<b>93</b>	9/10/2013	9/17/2013	Aarti Kumar	Letter dated February 11, 2009 from Ashvin Desai re: closure of UK account	HSBC-DESAI-0003012
<b>94</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated March 19, 2009 from Aarti Kumar re: Dubai deposit	HSBC-DESAI-0003027
<b>97</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated May 22, 2009 from Aarti Kumar re: fund conversion	HSBC-DESAI-0003130 - HSBC-DESAI-0003131
<b>98</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated May 22, 2009 from Aarti Kumar re: Citibank	HSBC-DESAI-0003126 - HSBC-DESAI-0003127
<b>99</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated June 15, 2009 from Aarti Kumar re: lunch meeting	HSBC-DESAI-0003185

<b>100</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated July 15, 2009 from Aarti Kumar re: Dubai account statements	HSBC-DESAI-0003265
<b>101</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated October 30, 2009 from Aarti Kumar re: debit card	HSBC-DESAI-0003891 - HSBC-DESAI-0003893
<b>103</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated November 4, 2009 from Aarti Kumar re: debit card and PINs	HSBC-DESAI-0003444
<b>104</b>	9/10/2013	9/12/2013	Vandana Katju	Email dated February 18, 2010 from Vandana Katju re: correspondence from HSBC	HSBC-DESAI-0003509
<b>105</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated March 1, 2010 from Ashvin Desai re: account statements	HSBC-DESAI-0003510
<b>109</b>	9/10/2013	9/17/2013	Aarti Kumar	Email dated April 21, 2010 from Ashvin Desai re: statement mailings	HSBC-DESAI-0004062
<b>132</b>	9/10/2013	9/17/2013	Aarti Kumar	Letter dated March 29, 2010 from Desai re: transfer of funds	HSBC-DESAI-0003937
<b>133</b>	9/10/2013	9/17/2013	Vandana Katju	Email dated April 14, 2008 from Desai re: HSBC USA	HSBC-DESAI-0001501
<b>134</b>	9/10/2013	9/12/2013	Vandana Katju	Account Summary spreadsheet	HSBC-DOJ-030862
<b>136</b>	9/10/2013	9/12/2013	Vandana Katju	Account spreadsheet	HSBC-DOJ-030924-HSBC-DOJ-030925
<b>137</b>	9/12/2013	9/12/2013	Vandana Katju	HSBC India Interest Statements	
<b>143</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 3/28/05 re: Tax Year 2003	
<b>144</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 6/13/05 re: Tax Year 2003	
<b>145</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 10/30/06 re: Tax Year 2004	
<b>146</b>	9/19/2013	9/20/2013	Jim Oertel	CP2501 dated 5/29/07 re: Tax Year 2005	
<b>147</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 9/17/07 re: Tax Year 2005	
<b>148</b>	9/19/2013	9/20/2013	Jim Oertel	CP2501 dated 3/17/08 re: Tax Year 2006	
<b>149</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 6/2/08 re: Tax Year 2006	
<b>150</b>	9/19/2013	9/20/2013	Jim Oertel	CP2501 dated 2/2/09 re: Tax Year 2007	
<b>151</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 4/13/09 re: Tax Year 2007	

<b>152</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 11/30/09 re: Tax Year 2007	
<b>153</b>	9/19/2013	9/20/2013	Jim Oertel	CP2000 dated 9/7/10 re: Tax Year 2008	
<b>154</b>	9/10/2013	9/11/2013	Vandana Katju	Letter signed by Desai re: terms for forward contracts	HSBC-DOJ-030855-HSBC-DOJ-030858
<b>155</b>	9/10/2013	9/11/2013	Vandana Katju	Operating Guidelines of the New York Representative Office of The Hong Kong and Shanghai Banking Corporation Limited (12/29/06 rev.)	HSBC-NRI-0010692-HSBC-NRI-0017002
<b>156</b>	9/10/2013	9/11/2013	Vandana Katju	Operating Guidelines of the California Representative Office of The Hong Kong and Shanghai Banking Corporation Limited (7/27/07 rev.)	HSBC-DESAI-0004101-HSBC-DESAI-0004115
<b>160</b>	9/18/2013	9/18/2013	Stipulation	Stipulation # 1 (citizenship)	
<b>161</b>	9/17/2013	9/17/2013	Stipulation	Stipulation # 2 (Ami Desai Wushnig)	
<b>162</b>	9/17/2013	9/17/2013	Stipulation	Stipulation # 3 (Neal Desai)	
<b>163</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2003	
<b>164</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2004	
<b>165</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2005	
<b>166</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2006	
<b>167</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2007	
<b>168</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2008	
<b>169</b>	9/19/2013	9/19/2013	Jim Oertel	Account Transcript, Ashvin and Nila Desai, 2009	

United States v. Desai  
Defendant's Exhibit List

<b>Exhibit</b>	<b>Date ID</b>	<b>Date Admitted</b>	<b>Description</b>	<b>Bates Range</b>
K	9/18/13	9/18/13	IRS Transcript, Tax Year 2007	
L	9/18/13	9/18/13	IRS Transcript, Tax Year 2008	
M	9/18/13	9/18/13	IRS Transcript, Tax Year 2009	
Z	9/30/13	9/30/13	Expert Mark Matthews' Resume	
GG - 1	9/20/13	9/20/13	Email from James Oertel to Michael Helgesen, dated Wednesday, June 06, 2012, explaining tax calculations of Ashvin Desai for 2007 and 2008.	
GG - 2	9/20/13	9/20/13	Backing Into Amounts on IDRS to Input into RGS, James Oretel (IRS Revenue Agent)	
OO	9/18/13	9/30/13	Certified copy of Hong Kong Shanghai Bank Corporation (HSBC) Ltd.'s 2007 Application for Representative Office at Fremont, California; Correspondence between former CA Dept. of Financial Institutions and counsel for HSBC regarding application.	

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Defendant's Exhibit List

<b>Exhibit</b>	<b>Date ID</b>	<b>Date Admitted</b>	<b>Description</b>	<b>Bates Range</b>
PP	9/18/13	9/30/13	Certified copy of Hong Kong Shanghai Bank Corporation (HSBC) Ltd.'s surrendering HSBC License for Fremont, California, Representative Office	
UU	9/12/13	9/12/13	Non Prosecution Agreement, Vandana Katju, and Department of Justice, dated April 29, 2013	
VV	9/12/13	9/12/13	IRS Offshore Voluntary Disclosure Letter, Vandana Katju, dated August 20, 2013	
WW	9/12/13	9/12/13	Proffer Agreement, Vandana Katju, dated April 16, 2013	
XX	9/17/13	9/17/13	Email from Patni to Neha Singhal, Priti Dahani, Vandana Kaju "Push for sales" Dated Jan. 16, 2007	
ZZ	9/17/13	9/17/13	Email from Aarti Kumar to Ashvin Desai, cc Vandana Katju, "NEW DEPOSIT," dated March 1, 2008	
AAA	9/17/13	9/17/13	Email from Vandana Katju to Ankush Tandon, "Boss—convince to place", dated July 20, 2006	
BBB	9/17/13	9/17/13	Email from Manasije Mishra to Vandana Katju, "Well done!", dated July 21, 2006	
EEE	9/17/13	9/17/13	Email from Surajit Thakur to Vandana Katju, Priti Dahani, etc., "Please keep this to yourselves..." dated Apr. 18, 2009	
FFF	9/18/13	9/18/13	Proffer Agreement (Aarti Kumar), dated Apr. 16, 2013	

United States v. Desai  
Defendant's Exhibit List

<b>Exhibit</b>	<b>Date ID</b>	<b>Date Admitted</b>	<b>Description</b>	<b>Bates Range</b>
GGG	9/18/13	9/18/13	Non Prosecution Agreement (Aarti Kumar), dated Apr. 29, 2013	
HHH	9/18/13	9/18/13	OVDI Letter (Aarti Kumar), dated August 20, 2013	
III	9/18/13	9/18/13	IRS Form 1040 (2010) Aarti Kumar	
JJJ	9/18/13	9/18/13	Linked In webpage, Aarti Kumar	
KKK	9/18/13	9/18/13	Email from Mayur Patni to Manasije Mishra, dated December 11, 2007 "2007 achievements"	
LLL	9/18/13	9/18/13	Email from Ashok to Aarti Kumar, dated April 24, 2008	
ZZZ	9/25/13	9/30/13	Resume of Martin G. Laffer, CPA	